



# SIRA

*Delivering Technologies  
for Patents*

## Search Report

**EIC 3600**

STIC Database Tracking Number:

**To: Bijendra Shrestha**  
**Location: Knox 4A11**  
**Art Unit: 3691**  
**Date: July 26, 2010**  
**Case Serial Number:**  
**10/661,763**

**From: Caryn Wesner-Early**  
**Location: EIC3600**  
**KNX 4B59**  
**Phone: (571) 272-3543**  
**caryn.wesner-early@uspto.gov**

### Search Notes

Dear Examiner Shrestha:

Please find attached the results of your search for the above-referenced case. The search was conducted in the template files.

I have listed references of *potential* interest in the first part of the search results. However, please be sure to scan through the entire report. There may be additional references that you might find useful.

If you have any questions about the search, or need a refocus, please do not hesitate to contact me.

Thank you for using the EIC, and we look forward to your next search!

Caryn S. Wesner-Early, MSLS  
ASRC Technical Information Specialist  
EIC 3600, US Patent & Trademark Office

<b>I. REFERENCES OF POTENTIAL INTEREST .....</b>	<b>3</b>
Dialog.....	3
<b>II. INVENTOR SEARCH RESULTS FROM DIALOG.....</b>	<b>4</b>
<b>III. TEXT SEARCH RESULTS FROM DIALOG - PATENTS .....</b>	<b>20</b>
A. Abstract Databases .....	20
B. Full-Text Databases .....	25
<b>IV. TEXT SEARCH RESULTS FROM DIALOG - NPL.....</b>	<b>34</b>
A. Abstract Databases .....	34
B. Full-text Databases .....	38
<b>V. ADDITIONAL RESOURCES SEARCHED .....</b>	<b>47</b>

## **I. References of Potential Interest**

Dialog

21/3,K/12 (Item 3 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c) 2010 Gale/Cengage. All rts. reserv.

08863768 SUPPLIER NUMBER: 18441718  
Special repo rates. (includes appendix)  
Duffie, Darrell  
Journal of Finance, v51, n2, p493(34)  
June, 1996  
ISSN: 0022-1082 LANGUAGE: English RECORD TYPE: Fulltext; Abstract  
WORD COUNT: 15371 LINE COUNT: 01189  
... paid directly by the asset, of ownership and control of the  
underlying asset during the time period before delivery  
of a forward contract. This article provides a theoretical analysis of the  
convenience yield on...and "dollar repos." A dollar repo is essentially(7)  
a simultaneous purchase and sale, with different date of  
settlement for purchase than for sale. Dollar repos are also  
apparently used by certain pension funds...

## **II. Inventor Search Results from Dialog**

? show files;ds;cost;logoff hold  
File 139:EconLit 1969-2010/Jun  
    (c) 2010 American Economic Association  
File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13  
    (c) 2002 Gale/Cengage  
File 474:New York Times Abs 1969-2010/Jul 26  
    (c) 2010 The New York Times  
File 475:Wall Street Journal Abs 1973-2010/Jul 26  
    (c) 2010 The New York Times  
File 35:Dissertation Abs Online 1861-2010/Jun  
    (c) 2010 ProQuest Info&Learning  
File 65:Inside Conferences 1993-2010/Jul 26  
    (c) 2010 BLDSC all rts. reserv.  
File 99:Wilson Appl. Sci & Tech Abs 1983-2010/May  
    (c) 2010 The HW Wilson Co.  
File 256:TecTrends 1982-2010/Jul W3  
    (c) 2010 Info.Sources Inc. All rights res.  
File 2:INSPEC 1898-2010/Jul W3  
    (c) 2010 The IET  
File 634:San Jose Mercury Jun 1985-2010/Jul 23  
    (c) 2010 San Jose Mercury News  
File 610:Business Wire 1999-2010/Jul 26  
    (c) 2010 Business Wire.  
File 613:PR Newswire 1999-2010/Jul 26  
    (c) 2010 PR Newswire Association Inc  
File 810:Business Wire 1986-1999/Feb 28  
    (c) 1999 Business Wire  
File 813:PR Newswire 1987-1999/Apr 30  
    (c) 1999 PR Newswire Association Inc  
File 20:Dialog Global Reporter 1997-2010/Jul 26  
    (c) 2010 Dialog  
File 626:Bond Buyer Full Text 1981-2008/Jul 07  
    (c) 2008 Bond Buyer  
File 268:Banking Info Source 1981-2010/Jul W2  
    (c) 2010 ProQuest Info&Learning  
File 9:Business & Industry(R) Jul/1994-2010/Jul 23  
    (c) 2010 Gale/Cengage  
File 15:ABI/Inform(R) 1971-2010/Jul 24  
    (c) 2010 ProQuest Info&Learning  
File 16:Gale Group PROMT(R) 1990-2010/Jul 23  
    (c) 2010 Gale/Cengage  
File 148:Gale Group Trade & Industry DB 1976-2010/Jul 23  
    (c) 2010 Gale/Cengage  
File 160:Gale Group PROMT(R) 1972-1989

(c) 1999 The Gale Group  
 File 275:Gale Group Computer DB(TM) 1983-2010/Jun 14  
 (c) 2010 Gale/Cengage  
 File 621:Gale Group New Prod.Annou.(R) 1985-2010/Jun 03  
 (c) 2010 Gale/Cengage  
 File 636:Gale Group Newsletter DB(TM) 1987-2010/Jul 23  
 (c) 2010 Gale/Cengage  
 File 267:Finance & Banking Newsletters 2008/Sep 29  
 (c) 2008 Dialog  
 File 624:McGraw-Hill Publications 1985-2010/Jul 26  
 (c) 2010 McGraw-Hill Co. Inc  
 File 625:American Banker Publications 1981-2008/Jun 26  
 (c) 2008 American Banker  
 File 120:U.S. Copyrights 1978-2010/Jul 13  
 (c) format only 2010 Dialog  
 File 426:LCMARC-Books 1968-2010/Jul W3  
 (c) format only 2010 Dialog  
 File 483:Newspaper Abs Daily 1986-2010/Jul 25  
 (c) 2010 ProQuest Info&Learning  
 File 347:JAPIO Dec 1976-2010/Mar(Updated 100622)  
 (c) 2010 JPO & JAPIO  
 File 348:EUROPEAN PATENTS 1978-201028  
 (c) 2010 European Patent Office  
 File 349:PCT FULLTEXT 1979-2010/UB=20100722|UT=20100715  
 (c) 2010 WIPO/Thomson  
 File 350:Derwent WPIX 1963-2010/UD=201047  
 (c) 2010 Thomson Reuters  
 File 371:French Patents 1961-2002/BOPI 200209  
 (c) 2002 INPI. All rts. reserv.

Set	Items	Description
S1	289	AU=(HEATON T? OR HEATON, T? OR HEATON(2N)(TIMOTHY OR TIM))
S2	72	S1 FROM 347,348,349,350,371
S3	1	(FORWARD OR POSTPONED OR DELAYED)()(CONTRACT OR CONTRACTS - OR AGREEMENT OR AGREEMENTS OR SALE OR SALES OR TRANSACTION OR TRANSACTIONS)
S4	19	BONDS OR COMMERCIAL()PAPER OR CORPORATE()DEBT OR DEBENTURES OR SECURITIES OR EQUITIES OR (FINANCIAL OR DEBT)()(VEHICLE OR VEHICLES OR PRODUCT OR PRODUCTS OR INSTRUMENT? ? OR OBLIGATION? ?) OR INVESTMENT? ? OR SHARES OR STOCK OR STOCKS OR (TRADEABLE OR TRADEABLE)()OBJECT? ?
S5	13	S2 AND (S3 OR S4)
S6	13	IDPAT (sorted in duplicate/non-duplicate order)
S7	12	IDPAT (primary/non-duplicate records only)
S8	217	S1 NOT S2
S9	6	S8 AND (S3 OR S4)
S10	6	RD (unique items)
S11	18	S7 OR S10

11/AA,AN,AZ,AU,TI/1 (Item 1 from file: 2)  
DIALOG(R)File 2:(c) 2010 The IET. All rts. reserv.  
07389507

Title: Economical disposition of surplus equipment from Department of Energy sites  
Author(s): Heaton, T. 1; Floyd, D. 1  
Book Title: Proceedings of the Topical Meeting on Decommissioning,  
Decontamination and Reutilization of Commercial and Government Facilities

11/AA,AN,AZ,AU,TI/2 (Item 2 from file: 2)  
DIALOG(R)File 2:(c) 2010 The IET. All rts. reserv.  
03965377

Title: Earthquake hazards on the Cascadia subduction zone  
Author(s): Heaton, T.H. 1; Hartzell, S.H. 1

11/AA,AN,AZ,AU,TI/3 (Item 3 from file: 2)  
DIALOG(R)File 2:(c) 2010 The IET. All rts. reserv.  
03335809

Title: Seismic potential associated with subduction in the northwestern United States  
Author(s): Heaton, T.H. 1; Kanamori, H. 1

11/AA,AN,AZ,AU,TI/4 (Item 1 from file: 15)  
DIALOG(R)File 15:(c) 2010 ProQuest Info&Learning. All rts. reserv.  
02956025 897538321  
Slimming down  
Rapp, Craig; Heaton, Terri

11/AA,AN,AZ,AU,TI/5 (Item 2 from file: 15)  
DIALOG(R)File 15:(c) 2010 ProQuest Info&Learning. All rts. reserv.  
01547723 01-98711  
Retained asset services  
Heaton, Tom; White, Lesyllee

11/AA,AN,AZ,AU,TI/6 (Item 1 from file: 148)  
DIALOG(R)File 148:(c) 2010 Gale/Cengage. All rts. reserv.  
03902955 SUPPLIER NUMBER: 07241828  
Reasons businesses fail; 12 common errors. (Guide for Entrepreneurs)  
Heaton, Tim

11/AA,AN,AZ,AU,TI/7 (Item 1 from file: 348)  
DIALOG(R)File 348:(c) 2010 European Patent Office. All rts. reserv.  
01593442  
Systems and methods for improving the liquidity and distribution network

for luxury and other illiquid items  
Systeme und Verfahren zur Verbesserung der Liquiditat und des  
Distributionsnetzes von Luxusartikeln und anderen illiquiden Artikeln  
Systemes et procedes pour l'amelioration de la liquidite et du resau de  
distribution d'objets de luxe et d'autres objets peu liquides

**INVENTOR:**

**Heaton, Timothy H.**, 19 Old Glen Road, Morristown, New Jersey  
07960, (US)

**Lutnick, Howard W.**, 180 East 64th Street, New York, New York 10021, (US)

APPLICATION (CC, No, Date): EP 2002258544 021211;

PRIORITY (CC, No, Date): US 340328 P 011213; US 281166 021028

11/AA,AN,AZ,AU,TI/8 (Item 1 from file: 349)

DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.

01028458

SYSTEMS AND METHODS FOR PROVIDING A FUTURES CONTRACTS ON OPTIONS  
CONTRACTS EXCHANGE DEVICE

SYSTEMES ET PROCEDES DE FOURNITURE DE CONTRATS A TERME NORMALISES BASES  
SUR DES CONTRATS D'OPTIONS DANS UN DISPOSITIF D'ECHANGE

**Inventor(s):**

**GINSBURG Philip M**, 653 Tazewell Avenue, P.O. Box 630, Cape Charles, VA 23310, US,

**HEATON Timothy H**, 19 Old Glen Road, Morristown, NJ 07960, US,

Application: WO 2002US41584 20021226 (PCT/WO US02041584)

11/AA,AN,AZ,AU,TI/9 (Item 2 from file: 349)

DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.

01022514

SYSTEMS AND METHODS FOR IMPROVING THE LIQUIDITY AND DISTRIBUTION  
NETWORK FOR LUXURY AND OTHER ILLIQUID ITEMS

SYSTEMES ET PROCEDES POUR AMELIORER LE RESEAU DE LIQUIDITES ET DE  
DISTRIBUTION D'ARTICLES DE LUXE OU AUTRES ARTICLES ILLIQUIDES

**Inventor(s):**

**HEATON Timothy H**, 19 Old Glen Road, Morristown, NJ 07960, US,

**LUTNICK Howard W**, 200 East 69th Street, Penthouse B, New York, NY 10021, US,

Application: WO 2002US39234 20021206 (PCT/WO US02039234)

11/AA,AN,AZ,AU,TI/10 (Item 3 from file: 349)

DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.

00762434

INTERNET PAYMENT SYSTEM

SYSTEME DE PAIEMENT SUR L'INTERNET

**Patent Applicant/Inventor:**

**FLOYD Dennis R**, 3265 Fenton Street, Denver, CO 80212, US, US (Residence),

US (Nationality), (Designated only for: US )

**HEATON Timothy L**

11/AA,AN,AZ,AU,TI/11 (Item 4 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
00762348  
INTERNET PAYMENT SYSTEM  
SYSTEME DE PAIEMENT SUR INTERNET  
Patent Applicant/Inventor:  
FLOYD Dennis R, 3265 Fenton Street, Denver, CO 80212, US, US (Residence),  
US (Nationality), (Designated only for: US )  
HEATON Timothy L

11/AA,AN,AZ,AU,TI/12 (Item 5 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
00357290  
IMPROVED HELIANTHUS ANNUUS WHEREIN PALMITIC ACID AND OLEIC ACID LEVELS  
ARE ALTERED  
HELIANTUS ANNUUS AMELIORE AYANT DES TENEURS MODIFIEES EN ACIDE  
PALMITIQUE ET EN ACIDE OLEIQUE  
Inventor(s):  
COLE Glenn S,  
HAZEBROEK Jan P,  
HEATON Thomas C,  
Application: WO 96US9486 19960605 (PCT/WO US9609486)

11/AA,AN,AZ,AU,TI/13 (Item 1 from file: 350)  
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.  
0020361180  
WPI ACC NO: 2010-E59759/  
Interest-rate-related instrument trading method, involves tradeably  
presenting electronic data representative of modified bid or offer position  
and computed updated commission to counterparty customer  
Original Titles:  
Fully transparent commission calculator and display system  
Local Applications (No Type Date): US 2003345466 A 20030114  
Priority Applications (no., kind, date): US 2003345466 A 20030114

11/AA,AN,AZ,AU,TI/14 (Item 2 from file: 350)  
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.  
0016741170  
WPI ACC NO: 2007-456239/  
Market`s e.g. financial market, interactive graphical representation  
providing method for electronic trading system, involves allowing user to  
select portion of graph and providing trading dialog box in response to selection  
Original Titles:  
SYSTEMS AND METHODS FOR PROVIDING AN INTERACTIVE GRAPHICAL  
REPRESENTATION OF A MARKET FOR AN ELECTRONIC TRADING SYSTEM

Interactive graphical representation of a market for an electronic trading system  
Local Applications (No Type Date): US 2002306996 A 20021127; US  
2006465060 A 20060816; US 2002306996 A 20021127; US 2006465060 A 20060816  
Priority Applications (no., kind, date): US 2002306996 A 20021127; US  
2006465060 A 20060816

11/AA,AN,AZ,AU,TI/15 (Item 3 from file: 350)  
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.  
0014956056  
WPI ACC NO: 2005-303830/  
Graphical user interface for **financial instrument** trading, has  
selectable tab to access selectable portion of display screen related to  
non-standard settlement position with respect to **financial instrument**  
Original Titles:  
Graphical user interface related to non-standard trading of **financial instruments**  
Local Applications (No Type Date): US 2003661763 A 20030911; CA 2481147  
A 20040910  
Priority Applications (no., kind, date): US 2003661763 A 20030911

11/AA,AN,AZ,AU,TI/16 (Item 4 from file: 350)  
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.  
0014233248  
WPI ACC NO: 2004-419192/  
Markets interactive graphical representation providing method for  
electronic trading system, involves displaying trading dialog box on  
workstation display on user selection of portion of **financial instrument** values graph  
Original Titles:  
Systems and methods for providing an interactive graphical representation  
of a market for an electronic trading system  
Local Applications (No Type Date): US 2002306996 A 20021127; GB 200326276  
A 20031111; US 2002306996 A 20021127  
Priority Applications (no., kind, date): US 2002306996 A 20021127

11/AA,AN,AZ,AU,TI/17 (Item 5 from file: 350)  
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.  
0013576304  
WPI ACC NO: 2003-670832/  
Futures contract provision method for options contract exchange device  
involves creating and trading futures contract based on options contract  
Original Titles:  
Systems and methods for providing a futures contracts on options contracts  
exchange device  
Futures contract on options contracts exchange device  
SYSTEMES ET PROCEDES DE FOURNITURE DE CONTRATS A TERME NORMALISES BASES  
SUR DES CONTRATS D'OPTIONS DANS UN DISPOSITIF D'ECHANGE

Local Applications (No Type Date): US 2001344258 P 20011227; US  
2002329809 A 20021224; WO 2002US41584 A 20021226; WO 2002US41584 A  
20021226; GB 200328526 A 20031209; AU 2002367256 A 20021226; US  
2001344258 P 20011227; US 2002329809 A 20021224

Priority Applications (no., kind, date): US 2001344258 P 20011227; US  
2002329809 A 20021224

11/AA,AN,AZ,AU,TI/18 (Item 6 from file: 350)  
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.  
0005445823

WPI ACC NO: 1991-045677/

Water-repellent silane emulsions - comprise hydrolysable silane(s)  
polyacrylate thickeners, buffers, biocide(s) and water beading agents

Original Titles:

Wasserabstossende Silanemulsionen, die Acrylsaeure- und  
Alkylmethacrylatkopolymere enthalten

Water repellent silane emulsions comprising copolymers of acrylic acid and  
alkyl methacrylates

Emulsions de silane impermeable contenant des copolymeres d'acide acrylique  
et methacylates d'alcy

Local Applications (No Type Date): EP 1990115192 A 19900807; JP  
1990210147 A 19900808; US 1989390790 A 19890808

Priority Applications (no., kind, date): US 1989390790 A 19890808

11/3,K/6 (Item 1 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c) 2010 Gale/Cengage. All rts. reserv.

03902955 SUPPLIER NUMBER: 07241828 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Reasons businesses fail; 12 common errors. (Guide for Entrepreneurs)

Heaton, Tim

Colorado Business Magazine, v16, n5, p35(2)

May, 1989

ISSN: 0898-6363 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT

WORD COUNT: 1536 LINE COUNT: 00116

... time to learn or hire someone to do this for you. It's a wise investment.

11. Unwillingness to employ and work with a banker, accountant and lawyer. By now, it...

11/3,K/7 (Item 1 from file: 348)  
DIALOG(R)File 348:EUROPEAN PATENTS  
(c) 2010 European Patent Office. All rts. reserv.

01593442

Systems and methods for improving the liquidity and distribution network  
for luxury and other illiquid items

Systeme und Verfahren zur Verbesserung der Liquiditat und des  
Distributionsnetzes von Luxusartikeln und anderen illiquiden Artikeln

Systemes et procedes pour l'amelioration de la liquidite et du resau de  
distribution d'objets de luxe et d'autres objets peu liquides

PATENT ASSIGNEE:

eSPEED, Inc., (3983123), 135 East 57th Street, New York, NY 10022, (US),  
(Applicant designated States: all)

INVENTOR:

Heaton, Timothy H., 19 Old Glen Road, Morristown, New Jersey 07960, (US)

Lutnick, Howard W., 180 East 64th Street, New York, New York 10021, (US)

LEGAL REPRESENTATIVE:

Jones, David Colin et al (43213), Withers & Rogers, Goldings House 2 Hays  
Lane, London SE1 2HW, (GB)

PATENT (CC, No, Kind, Date): EP 1320057 A1 030618 (Basic)

APPLICATION (CC, No, Date): EP 2002258544 021211;

PRIORITY (CC, No, Date): US 340328 P 011213; US 281166 021028

DESIGNATED STATES: AT; BE; BG; CH; CY; CZ; DE; DK; EE; ES; FI; FR; GB; GR;  
IE; IT; LI; LU; MC; NL; PT; SE; SI; SK; TR

EXTENDED DESIGNATED STATES: AL; LT; LV; MK; RO

INTERNATIONAL PATENT CLASS (V7): G06F-017/60

ABSTRACT WORD COUNT: 142

NOTE: Figure number on first page: 1

LANGUAGE (Publication,Procedural,Application): English; English; English

FULLTEXT AVAILABILITY:

Available Text Language Update Word Count

CLAIMS A (English) 200325 2407  
SPEC A (English) 200325 4943  
Total word count - document A 7350  
Total word count - document B 0  
Total word count - documents A + B 7350

...SPECIFICATION for determining the value of, and best method for auctioning: goods, services, real assets and **securities**. The systems and methods according to the invention provide a centralized computer data base(s...804, the lowest price for which the option is being sold 805, the volume of **shares** traded 806, the open interest 807 -- i.e., the total number of options contracts traded...

...in items and markets that, in the past, were not liquid enough to allow for **investment** by the general public. Systems and methods for creating indexes for these items or markets...for auction items such as: diamonds, wine, motor vehicles, boats, antiques, artwork, real property, and **securities** or any suitable auctioned items. More precisely, it relates to a computerized system containing a...

11/3,K/8 (Item 1 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2010 WIPO/Thomson. All rts. reserv.

01028458 \*\*Image available\*\*

SYSTEMS AND METHODS FOR PROVIDING A FUTURES CONTRACTS ON OPTIONS  
CONTRACTS EXCHANGE DEVICE

SYSTEMES ET PROCEDES DE FOURNITURE DE CONTRATS A TERME NORMALISES BASES  
SUR DES CONTRATS D'OPTIONS DANS UN DISPOSITIF D'ECHANGE

Patent Applicant/Assignee:

ESPEED INC, 135 East 57th Street, 5th Floor, New York, NY 10022, US, US  
(Residence), US (Nationality)

Inventor(s):

GINSBURG Philip M, 653 Tazewell Avenue, P.O. Box 630, Cape Charles, VA 23310, US,  
**HEATON Timothy H**, 19 Old Glen Road, Morristown, NJ 07960, US,

Legal Representative:

ROGERS Laurence S (et al) (agent), c/o Fish & Neave, 1251 Avenue of the  
Americas, New York, NY 10020, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200358401 A2-A3 20030717 (WO 0358401)

Application: WO 2002US41584 20021226 (PCT/WO US02041584)

Priority Application: US 2001344258 20011227; US 2002329809 20021224

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ

EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR

LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SC SD SE SG

SK SL TJ TM TN TR TT TZ UA UG UZ VC VN YU ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR IE IT LU MC NL PT SE SI SK TR  
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 4346

Fulltext Availability:

Detailed Description

... the employee the right to purchase  
up to a specific number of the employing companies stock  
at a certain price or strike price. Companies using  
options as a compensation device were...

Such goals included stock price ...specific price.

[00041 it would be desirable to improve market  
liquidity and introduce a novel securities exchange  
mechanism that would allow for alternative investment  
hedging techniques and speculation by providing systems  
and methods for providing futures contracts on options...

...[000SI The present invention relates to systems and  
methods for providing a novel securities exchange  
mechanism that would allow for alternative investment  
hedging techniques and ...employer. This invention would have been very  
useful during the "dot-com crash", in which stock prices of  
start-ups went into a free-fall. If future contracts on  
options contracts...The futures on options exchange device may  
offer new and unique methods for hedging and investment  
speculation. Additionally, futures on options contracts  
may provide an alternative to long-term option contracts...speculative  
attributes may be present in the present invention which  
may be attractive as an investment mechanism.

### **<removed unnecessary information>**

As a result, the purchaser still has the right to buy a - 13  
specific number of stock at a specific price. often,  
compensatory stock options will have either a long-term  
or no expiration (e.g., exercise) date. Therefore...

11/3,K/9 (Item 2 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2010 WIPO/Thomson. All rts. reserv.

01022514 \*\*Image available\*\*

SYSTEMS AND METHODS FOR IMPROVING THE LIQUIDITY AND DISTRIBUTION  
NETWORK FOR LUXURY AND OTHER ILLIQUID ITEMS  
SYSTEMES ET PROCEDES POUR AMELIORER LE RESEAU DE LIQUIDITES ET DE  
DISTRIBUTION D'ARTICLES DE LUXE OU AUTRES ARTICLES ILLIQUIDES

Patent Applicant/Assignee:

eSPEED INC, 135 East 57th Street, 5th Floor, New York, NY 10019, US, US  
(Residence), US (Nationality)

Inventor(s):

HEATON Timothy H, 19 Old Glen Road, Morristown, NJ 07960, US,  
LUTNICK Howard W, 200 East 69th Street, Penthouse B, New York, NY 10021, US,

Legal Representative:

INGERMAN Jeffrey H (et al) (agent), Fish & Neave, 1251 Avenue of the  
Americas, New York, NY 10020, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200352548 A2-A3 20030626 (WO 0352548)

Application: WO 2002US39234 20021206 (PCT/WO US02039234)

Priority Application: US 2001340328 20011213; US 2002281166 20021028

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ  
EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR  
LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SC SD SE SG  
SK SL TJ TM TN TR TT TZ UA UG UZ VC VN YU ZA ZM ZW  
(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR IE IT LU MC NL PT SE SI SK TR  
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG  
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW  
(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 9293

Fulltext Availability:

Detailed Description

... for determining the value of, and best method for auctioning.

goods, services, real assets and securities. The systems  
and methods according to the invention provide a  
centralized computer data base(s...804, the lowest price for which the  
option is being sold 805, the volume of shares traded 806, the  
open interest 807 -- i.e., the total number of options  
contracts traded...in items and markets that, in the past, were not  
liquid enough to allow for investment by the general  
public. Systems and methods for creating indexes for  
these items or markets...for auction items such as.

diamonds, wine, motor vehicles, boats, antiques, artwork,  
real property, and securities or any suitable auctioned  
5 items. More precisely, it relates to a computerized system containing...

11/3,K/13 (Item 1 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
(c) 2010 Thomson Reuters. All rts. reserv.

0020361180 - Drawing available  
WPI ACC NO: 2010-E59759/201029  
Interest-rate-related instrument trading method, involves tradeably  
presenting electronic data representative of modified bid or offer position  
and computed updated commission to counterparty customer  
Patent Assignee: BGC PARTNERS INC (BGCP-N)  
Inventor: HEATON T H; WEISS J  
Patent Family (1 patents, 1 countries)  
Patent Application  
Number Kind Date Number Kind Date Update  
US 7707097 B1 20100427 US 2003345466 A 20030114 201029 B  
Priority Applications (no., kind, date): US 2003345466 A 20030114  
Patent Details  
Number Kind Lan Pg Dwg Filing Notes  
US 7707097 B1 EN 19 9

Alerting Abstract ...USE - Method for trading an interest-rate-related financial instrument.

...ADVANTAGE - The method enables efficient trading of the interest-rate-related financial instrument in a real time

Examiner:

Original Abstracts:

...the commission allocation protocol, the systems and methods may allocate commissions or fees when trading securities at accelerated levels with minimal errors and costs, control commission elements during real-time trading...

Claims:

11/3,K/14 (Item 2 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
(c) 2010 Thomson Reuters. All rts. reserv.

0016741170 - Drawing available  
WPI ACC NO: 2007-456239/200744  
Related WPI Acc No: 2004-419192  
XRPX Acc No: N2007-345571  
Market`s e.g. financial market, interactive graphical representation  
providing method for electronic trading system, involves allowing user to  
select portion of graph and providing trading dialog box in response to selection  
Patent Assignee: ESPEED INC (ESPE-N); BGC PARTNERS INC (BGCP-N)  
Inventor: HEATON T H  
Patent Family (2 patents, 1 countries)  
Patent Application  
Number Kind Date Number Kind Date Update

US 20070076002 A1 20070405 US 2002306996 A 20021127 200744 B  
US 2006465060 A 20060816  
US 7696997 B2 20100413 US 2002306996 A 20021127 201027 E  
US 2006465060 A 20060816

Priority Applications (no., kind, date): US 2002306996 A 20021127; US  
2006465060 A 20060816

#### Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
--------	------	-----	----	-----	--------	-------

US 20070076002	A1	EN	18	11	Continuation of application	US 2002306996
----------------	----	----	----	----	-----------------------------	---------------

Continuation of patent US 7113190

US 7696997	B2	EN			Continuation of application	US 2002306996
					Continuation of patent	US 7113190

Alerting Abstract ...NOVELTY - The method involves receiving a selection of a type of **financial instruments** e.g. **stock**, and displaying a graph (300) in response to the selection, where the graph has two axis (302, 304) corresponding to two parameters of the type of **financial instruments**. A portion of the graph is selectable for initiating a trade and the parameter corresponds...

...financial market, that is utilized in an electronic trading system for trading items ranging from **financial instrument** such as **stock**, bond, currency, and futures contract to used household good e.g. old record, baseball card...

Examiner:

Original Abstracts:

...example, the graph may include a curve corresponding to a range of values of a **financial instrument**. In another example, the graph may include symbols that represent bids and offers for one or more **financial instruments**. A user may be allowed to select a portion of the graph. In response to...

...example, the graph may include a curve corresponding to a range of values of a **financial instrument**. In another example, the graph may include symbols that represent bids and offers for one or more **financial instruments**. A user may be allowed to select a portion of the graph. In response to...

Claims:

...interactive graphical representation of a market comprising:receiving a selection of a first type of **financial instruments**;  
anddisplaying a graph in response to the selection, the graph comprising:a first axis corresponding to a first parameter of the first type of **financial instruments**,a second axis corresponding to a second parameter of the first type of **financial instruments**, the second parameter differentiating each of a plurality of the at least one type of **financial instruments**, anda plot of a plurality of the first type of **financial instruments**, at least a portion of the graph selectable for initiating a trade of at least one of the plurality of

the first type of financial instruments.

...user interface display of an electronic trading system, displaying a graph of two or more financial instruments traded on the trading system, the graph comprising: a first axis corresponding to a first parameter of the financial instruments, a second axis corresponding to a second parameter of the financial instruments, and a plot of a plurality of the financial instruments on the two axes; accepting from a user a selection of at least a portion of the graph, the selection of the portion differentiating the plurality of the financial instruments into selected and non-selected instruments, the graphical user interface being programmed to interpret the selection as a step in initiating a trade of at least one of the selected financial instruments.

11/3,K/15 (Item 3 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
(c) 2010 Thomson Reuters. All rts. reserv.

0014956056 - Drawing available  
WPI ACC NO: 2005-303830/200531  
XRPX Acc No: N2005-248482

Graphical user interface for financial instrument trading, has selectable tab to access selectable portion of display screen related to non-standard settlement position with respect to financial instrument  
Patent Assignee: ESPEED INC (ESPE-N)

Inventor: HEATON T H

Patent Family (2 patents, 2 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 20050060255	A1	20050317	US 2003661763	A	20030911	200531 B
CA 2481147	A1	20050311	CA 2481147	A	20040910	200531 E

Priority Applications (no., kind, date): US 2003661763 A 20030911

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
--------	------	-----	----	-----	--------	-------

US 20050060255	A1	EN	11	6		
----------------	----	----	----	---	--	--

CA 2481147	A1	EN				
------------	----	----	--	--	--	--

Original Titles:

Graphical user interface related to non-standard trading of financial instruments

Alerting Abstract ...NOVELTY - The interface has a selectable portion of a display screen related to a financial instrument e.g. interest-rate related instrument, where the portion reflects market conditions for the instrument...

...portion of the screen related to a non-standard settlement position with respect to the financial instrument. The tab provides access to

list of forward contracts available to an investor. USE - For use in financial instrument trading computer applications...  
...ADVANTAGE - The interface allows the investor to quickly and easily sell the financial instrument, for non-standard settlement. The interface also allows the investor to sell an interest-rate...  
...DESCRIPTION OF DRAWINGS - The drawing shows a flow chart of a securities trading method.

Examiner:

Original Abstracts:

A graphical user interface related to non-standard settlement trading in financial instruments is provided. The graphical user interface preferably includes a selectable portion of a display screen related to a financial instrument and a selectable tab for accessing a selectable portion of the display screen related to one or a plurality of non-standard settlement positions with respect to the financial instrument. In one embodiment of the invention, when the tab is selected, access is provided to the selectable portion of...

Claims:

...A graphical user interface comprising: a selectable portion of a display screen related to a financial instrument; a selectable tab for accessing a selectable portion of the display screen related to a forward position with respect to the financial instrument; and wherein when the tab is selected, access is provided to the selectable portion of the display screen related to the forward position.

11/3, K/16 (Item 4 from file: 350)  
DIALOG(R) File 350: Derwent WPIX  
(c) 2010 Thomson Reuters. All rts. reserv.

0014233248 - Drawing available  
WPI ACC NO: 2004-419192/200439  
Related WPI Acc No: 2007-456239  
XRPX Acc No: N2004-332755

Markets interactive graphical representation providing method for electronic trading system, involves displaying trading dialog box on workstation display on user selection of portion of financial instrument values graph

Patent Assignee: ESPEED INC (ESPE-N)

Inventor: HEATON T H

Patent Family (3 patents, 2 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 20040100467	A1	20040527	US 2002306996	A	20021127	200439 B
GB 2395819	A	20040602	GB 200326276	A	20031111	200441 E
US 7113190	B2	20060926	US 2002306996	A	20021127	200663 E

Priority Applications (no., kind, date): US 2002306996 A 20021127

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
--------	------	-----	----	-----	--------	-------

Alerting Abstract ...The graph includes a fair value curve corresponding to a range of values of a financial instrument. A user is allowed to select a portion of the graph. A trading dialog box...

...interactive graphical representation of a market for electronic trading system that trades items ranging from financial instrument such as stock, bond, currency, debt, swap, repos, future and contract to used household goods such as old...

Examiner:

Original Abstracts:

...example, the graph may include a curve corresponding to a range of values of a financial instrument. In another example, the graph may include symbols that represent bids and offers for one or more financial instruments. A user may be allowed to select a portion of the graph. In response to...

Claims:

...workstation, wherein the graph includes a curve corresponding to a range of values of a financial instrument; allowing a user to select a portion of the graph; and in response to the...

### III. Text Search Results from Dialog - Patents

#### A. Abstract Databases

? show files;ds;cost;logoff hold

File 347:JAPIO Dec 1976-2010/Mar(Updated 100622)

(c) 2010 JPO & JAPIO

File 350:Derwent WPIX 1963-2010/UD=201047

(c) 2010 Thomson Reuters

File 371:French Patents 1961-2002/BOPI 200209

(c) 2002 INPI. All rts. reserv.

Set	Items	Description
S1	160	(FORWARD OR POSTPONED OR DELAYED)()(CONTRACT OR CONTRACTS - OR AGREEMENT OR AGREEMENTS OR SALE OR SALES OR TRANSACTION OR TRANSACTIONS)
S2	160	(FORWARD OR POSTPONED OR DELAYED)()(CONTRACT OR CONTRACTS - OR AGREEMENT OR AGREEMENTS OR SALE OR SALES OR TRANSACTION OR TRANSACTIONS)
S3	5	(REPURCHASE OR REPO OR RE()PURCHASE OR RE-PURCHASE OR RP OR BUYBACK OR BUY()BACK OR SECOND)(2N)(CONTRACT OR CONTRACTS OR AGREEMENT OR AGREEMENTS)
S4	2	(OFFER OR ASK OR ASKED OR ASKING OR SELLING OR QUOTED)()(P-RICE OR PRICING OR VALUE OR VALUATION OR WORTH)
S5	16	(CLOSING OR SETTLE OR SETTLEMENT OR COMPLETE OR COMPLETING OR COMPLETION OR PAY OR PAYING OR PAYMENT OR DELIVER OR DELIVERING OR DELIVERY OR CLEAR OR CLEARING OR MATURITY)(2N)(DATE - OR DEADLINE OR TIME)
S6	120	DIFFERENT OR OTHER OR DISCRETE OR DISTINCT OR "NOT"(1W)SAME OR RELATED OR DEPEND??? OR LARGER OR SMALLER OR MORE OR LESS OR HIGHER OR LOWER OR EARLIER OR LATER OR BEFORE OR AFTER
S7	45	BONDS OR COMMERCIAL()PAPER OR CORPORATE()DEBT OR DEBENTURES OR SECURITIES OR EQUITIES OR (FINANCIAL OR DEBT)()(VEHICLE OR VEHICLES OR PRODUCT OR PRODUCTS OR INSTRUMENT? ? OR OBLIGATION? ?) OR INVESTMENT? ? OR SHARES OR STOCK OR STOCKS OR (TRADEABLE OR TRADEABLE)()OBJECT? ?
S8	5	S2(3N)S3
S9	0	S4(2N)S6
S10	4	S5(2N)S6
S11	0	S9(10N)S10
S12	0	S7(S)S8(S)S11
S13	0	IDPAT (sorted in duplicate/non-duplicate order)
S14	5	IDPAT S8 (sorted in duplicate/non-duplicate order)
S15	5	IDPAT S8 (primary/non-duplicate records only)

15/AN,AZ,TI/1 (Item 1 from file: 350)

DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.  
0016923067

Forward equity sale method for use by company in selling common stock in form of financing, involves creating agreement between fourth entity and at least one of first entity and second entity

Original Titles:

SYSTEM, METHOD, APPARATUS AND PRODUCT FOR USE IN ASSOCIATION WITH TRANSACTIONS

Local Applications (No Type Date): US 2006765827 P 20060207; US 2007672410 A 20070207

Priority Applications (no., kind, date): US 2006765827 P 20060207; US 2007672410 A 20070207

15/AN,AZ,TI/2 (Item 2 from file: 350)

DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.  
0015046063

Derivative securities transaction method using computer system, involves obtaining call option for business entity which includes maturity date and issuing forward contract to share holder entity comprising other maturity date

Original Titles:

Investment structures, methods and systems involving derivative securities

Local Applications (No Type Date): US 2003689136 A 20031020

Priority Applications (no., kind, date): US 2003689136 A 20031020

15/AN,AZ,TI/3 (Item 3 from file: 350)

DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.  
0013267686

Transaction agreement modeling method for financial applications, involves determining agreement type based on product types and covered products matrix

Original Titles:

SYSTEMS AND METHODS FOR FACILITATING AGREEMENT DEFINITION VIA AN AGREEMENT MODELING SYSTEM

SYSTEMES ET PROCEDES FACILITANT LA DEFINITION D'UN ACCORD PAR L'INTERMEDIAIRE D'UN SYSTEME DE MODELISATION D'ACCORD

Local Applications (No Type Date): US 2001916881 A 20010727; WO

2002US23897 A 20020729; AU 2002329649 A 20020729; AU 2002329649 A 20020729

Priority Applications (no., kind, date): US 2001916881 A 20010727

15/AN,AZ,TI/4 (Item 4 from file: 350)

DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.  
0012913789

Remote control signal receiving device for connection to entertainment devices

Original Titles:

FERNBEDIENUNGSSIGNALEMPFANGSEINRICHTUNG

REMOTE CONTROL SIGNAL RECEIVING DEVICE  
DISPOSITIF RECEPTEUR DE SIGNAL DE TELECOMMANDE  
REMOTE CONTROL SIGNAL RECEIVER, INFORMATION PROCESSING PROGRAM, STORAGE  
MEDIUM FOR STORING REMOTE CONTROL SIGNAL INFORMATION PROCESSING  
PROGRAM, REMOTE CONTROL SIGNAL INFORMATION PROCESSING METHOD AND  
REMOTE CONTROLLER

Remote-control signal receiver

Local Applications (No Type Date): WO 2001JP9775 A 20011108; AU 200212729  
A 20011108; JP 2001330041 A 20011026; US 200139478 A 20011109; EP  
2001981025 A 20011108; WO 2001JP9775 A 20011108; JP 2001330041 A  
20011026; US 200139478 A 20011109; TW 2001127999 A 20011109

Priority Applications (no., kind, date): JP 2000344536 A 20001110; JP  
2001330041 A 20011026

15/AN,AZ,TI/5 (Item 5 from file: 350)  
DIALOG(R)File 350:(c) 2010 Thomson Reuters. All rts. reserv.  
0007156185

Sewer clean-out tool - comprises helically wound coiled spring which is  
controllably inserted into waste lines and includes actuating mechanism

Original Titles:

Arbeitsgeraet fuer Installateure, insbesondere zum Reinigen von Abwasserleitungen  
Grip handle chuck

Local Applications (No Type Date): US 1994264899 A 19940624; DE 19521151  
A 19950609

Priority Applications (no., kind, date): US 1994264899 A 19940624

15/3,K/1 (Item 1 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
(c) 2010 Thomson Reuters. All rts. reserv.

0016923067

WPI ACC NO: 2007-638133/200760

XRPX Acc No: N2007-498336

Forward equity sale method for use by company in selling common stock in form of financing, involves creating agreement between fourth entity and at least one of first entity and second entity

Patent Assignee: EFRON P (EFRO-I)

Inventor: EFRON P

Patent Family (1 patents, 1 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 20070203819	A1	20070830	US 2006765827	P	20060207	200760 B
			US 2007672410	A	20070207	

Priority Applications (no., kind, date): US 2006765827 P 20060207; US 2007672410 A 20070207

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
--------	------	-----	----	-----	--------	-------

US 20070203819	A1	EN	16	3	Related to Provisional	US 2006765827
----------------	----	----	----	---	------------------------	---------------

Alerting Abstract ...repayment is secured by the right of the second entity to be paid under the **forward sale contract**. The first, **second**, third and fourth entities can be a company that may be private or public, incorporated...

15/3,K/2 (Item 2 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
(c) 2010 Thomson Reuters. All rts. reserv.

0015046063 - Drawing available

WPI ACC NO: 2005-394081/200540

XRPX Acc No: N2005-319291

Derivative securities transaction method using computer system, involves obtaining call option for business entity which includes maturity date and issuing forward contract to share holder entity comprising other maturity date

Patent Assignee: MCMURTRAY N (MCMU-I); SAVASOGLU S (SAVA-I); WOODRUFF K G (WOOD-I)

Inventor: MCMURTRAY N; SAVASOGLU S; WOODRUFF K G

Patent Family (1 patents, 1 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 20050086148	A1	20050421	US 2003689136	A	20031020	200540 B

Priority Applications (no., kind, date): US 2003689136 A 20031020

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing	Notes
US 20050086148	A1	EN	10	3		

Original Abstracts:

...comprises a first maturity date. In addition, the method also includes steps for issuing a forward contract to the second entity, wherein the forward contract comprises a second maturity date.

Claims:

...a second entity, wherein the call option includes a first maturity date; and issuing a forward contract to the second entity, wherein the forward contract includes a second maturity date.

## B. Full-Text Databases

? show files;ds;cost;logoff hold

File 348:EUROPEAN PATENTS 1978-201028

(c) 2010 European Patent Office

File 349:PCT FULLTEXT 1979-2010/UB=20100722|UT=20100715

(c) 2010 WIPO/Thomson

Set	Items	Description
S1	390	(FORWARD OR POSTPONED OR DELAYED)()(CONTRACT OR CONTRACTS - OR AGREEMENT OR AGREEMENTS OR SALE OR SALES OR TRANSACTION OR TRANSACTIONS)
S2	390	(FORWARD OR POSTPONED OR DELAYED)()(CONTRACT OR CONTRACTS - OR AGREEMENT OR AGREEMENTS OR SALE OR SALES OR TRANSACTION OR TRANSACTIONS)
S3	51	(REPURCHASE OR REPO OR RE()PURCHASE OR RE-PURCHASE OR RP OR BUYBACK OR BUY()BACK OR SECOND)(2N)(CONTRACT OR CONTRACTS OR AGREEMENT OR AGREEMENTS)
S4	78	(OFFER OR ASK OR ASKED OR ASKING OR SELLING OR QUOTED)()(P-RICE OR PRICING OR VALUE OR VALUATION OR WORTH)
S5	197	(CLOSING OR SETTLE OR SETTLEMENT OR COMPLETE OR COMPLETING OR COMPLETION OR PAY OR PAYING OR PAYMENT OR DELIVER OR DELIVERING OR DELIVERY OR CLEAR OR CLEARING OR MATURITY)(2N)(DATE - OR DEADLINE OR TIME)
S6	388	DIFFERENT OR OTHER OR DISCRETE OR DISTINCT OR "NOT"(1W)SAME OR RELATED OR DEPEND??? OR LARGER OR SMALLER OR MORE OR LESS OR HIGHER OR LOWER OR EARLIER OR LATER OR BEFORE OR AFTER
S7	241	BONDS OR COMMERCIAL()PAPER OR CORPORATE()DEBT OR DEBENTURES OR SECURITIES OR EQUITIES OR (FINANCIAL OR DEBT)()(VEHICLE OR VEHICLES OR PRODUCT OR PRODUCTS OR INSTRUMENT? ? OR OBLIGATION? ?) OR INVESTMENT? ? OR SHARES OR STOCK OR STOCKS OR (TRADEABLE OR TRADEABLE)()OBJECT? ?
S8	5	S2(3N)S3
S9	18	S4(2N)S6
S10	54	S5(2N)S6
S11	0	S9(10N)S10
S12	0	S7(S)S8(S)S11
S13	13	S2(S)S3
S14	1	S2(S)S3(S)S4(S)S5(S)S6
S15	47	S2(F)S3
S16	15	S15(S)((S4 OR S5)(S)S6)
S17	17	S8 OR S14 OR S16
S18	17	S17 AND IC=(G06F OR G06Q)
S19	17	IDPAT (sorted in duplicate/non-duplicate order)
S20	17	IDPAT (primary/non-duplicate records only)

20/AN,AZ,TI/1 (Item 1 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
01994613  
COLLATERALIZED LENDING USING A CENTRAL COUNTERPARTY  
CREDIT GARANTI UTILISANT UNE CONTREPARTIE CENTRALE  
Application: WO 2009US60865 20091015 (PCT/WO US2009060865)

20/AN,AZ,TI/2 (Item 2 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
01796361  
DATABASE SYSTEM AND METHOD FOR TRACKING GOODS  
SYSTEME DE BASE DE DONNEES ET PROCEDE POUR LE SUIVI DE BIENS  
Application: WO 2008US76194 20080912 (PCT/WO US2008076194)

20/AN,AZ,TI/3 (Item 3 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
01780107  
SYSTEM AND METHOD FOR SETTLING TRADES  
SYSTEME ET PROCEDE DE REGLEMENT DE TRANSACTIONS  
Application: WO 2008US8686 20080716 (PCT/WO US2008008686)

20/AN,AZ,TI/4 (Item 4 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
01777812  
METHODS AND SYSTEMS FOR PROVIDING A CONSTANT MATURITY COMMODITY INDEX  
PROCEDES ET SYSTEMES POUR FOURNIR UN INDICE DE MARCHANDISES DE  
MATURITE CONSTANT  
Application: WO 2008US9092 20080728 (PCT/WO US2008009092)

20/AN,AZ,TI/5 (Item 5 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
01553315  
INDEX AND FINANCIAL PRODUCT AND METHOD AND SYSTEM FOR MANAGING SAID  
INDEX AND FINANCIAL PRODUCT  
INDICE ET PRODUIT FINANCIER, ET METHODE ET SYSTEME DE GESTION DUDIT INDICE  
ET DUDIT PRODUIT FINANCIER  
Application: WO 2007US4796 20070223 (PCT/WO US2007004796)

20/AN,AZ,TI/6 (Item 6 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
01455671  
SELF-HEDGING MULTI-LAYERED INVESTMENT SYSTEM AND METHOD USING  
INTERNAL CONTRACTUAL RELATIONSHIPS

SYSTEME PROCEDE D'INVESTISSEMENT MULTINIVEAUX A COUVERTURE AUTOMATIQUE  
DES RISQUES FAISANT APPEL A DES RELATIONS CONTRACTUELLES INTERNES.

Application: WO 2006US23684 20060619 (PCT/WO US2006023684)

20/AN,AZ,TI/7 (Item 7 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
01428845

TRAVEL SYSTEM AND METHOD  
SYSTEME ET PROCEDE DE VOYAGE

Application: WO 2006IB51110 20060411 (PCT/WO IB2006051110)

20/AN,AZ,TI/8 (Item 8 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
01374103

FRACTIONAL FORWARD CONTRACTS  
CONTRATS A TERME FRACTIONNAIRES

Application: WO 2005US36354 20051007 (PCT/WO US2005036354)

20/AN,AZ,TI/9 (Item 9 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
01359848

METHOD FOR MANAGING MARKETS FOR COMMODITIES USING FRACTIONAL  
FORWARD DERIVATIVE  
PROCEDE PERMETTANT DE GERER DES MARCHES DE MARCHANDISES A L'AIDE D'UNE  
DERIVEE FRACTIONNAIRE A DROITE

Application: WO 2005US36204 20051007 (PCT/WO US2005036204)

20/AN,AZ,TI/10 (Item 10 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
01320487

METHODS AND APPARATUS FOR ONLINE FOREIGN CURRENCY EXCHANGE  
PROCEDES ET APPAREIL D'ECHANGE DE MONNAIES ETRANGERES EN LIGNE

Application: WO 2005US22187 20050622 (PCT/WO US2005022187)

20/AN,AZ,TI/11 (Item 11 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
01213391

ENHANCED PARIMUTUEL WAGERING  
PARI DU TYPE PARI MUTUEL AMELIORE

Application: WO 2004US25434 20040806 (PCT/WO US2004025434)

20/AN,AZ,TI/12 (Item 12 from file: 349)

DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
01212856

SYSTEM AND METHOD FOR IDENTIFICATION OF QUASI-FUNGIBLE GOODS AND  
SERVICES, AND FINANCIAL INSTRUMENTS BASED THEREON  
SYSTEME ET PROCEDE D'IDENTIFICATION DE BIENS ET DE SERVICES QUASI-FONGIBLES  
ET INSTRUMENTS FINANCIERS BASES SUR CEUX-CI

Application: WO 2004US26960 20040818 (PCT/WO US2004026960)

20/AN,AZ,TI/13 (Item 13 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
01144324

PAIRED BASIS SWAP RISK AND CREDIT MITIGATION  
SYSTEME D'ATTENUATION DES RISQUES DANS LE CASE D'ACCORDS SWAP  
RECIPROQUES ET SYSTEME DE MINIMISATION COLLATERAL

Application: WO 2004US1886 20040123 (PCT/WO US2004001886)

20/AN,AZ,TI/14 (Item 14 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
01090176

METHOD AND SYSTEM FOR PROVIDING RULE-BASED COLLATERAL ALLOCATION AND  
SUBSTITUTION  
PROCEDE ET SYSTEME D'AFFECTATIONS ET DE SUBSTITUTIONS COLLATERALES BASES  
SUR DES REGLES

Application: WO 2003US23894 20030730 (PCT/WO US03023894)

20/AN,AZ,TI/15 (Item 15 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
00933152

EXTENDED WEB ENABLED MULTI-FEATURED BUSINESS TO BUSINESS COMPUTER  
SYSTEM FOR RENTAL VEHICLE SERVICES  
SYSTEME INFORMATIQUE ETENDU ENTRE ENTREPRISES, A FONCTIONS MULTIPLES,  
FONCTIONNANT SUR LE WEB, POUR DES SERVICES DE LOCATION DE VEHICULES

Application: WO 2001US51437 20011019 (PCT/WO US0151437)

Parent Application/Grant:

Related by Continuation to: US 2000694050 20001020 (CIP)

20/AN,AZ,TI/16 (Item 16 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
00806384

NETWORK AND LIFE CYCLE ASSET MANAGEMENT IN AN E-COMMERCE ENVIRONMENT  
AND METHOD THEREOF  
GESTION D'ACTIFS DURANT LE CYCLE DE VIE ET EN RESEAU DANS UN ENVIRONNEMENT  
DE COMMERCE ELECTRONIQUE ET PROCEDE ASSOCIE

Application: WO 2000US32324 20001122 (PCT/WO US0032324)

20/AN,AZ,TI/17 (Item 17 from file: 349)  
DIALOG(R)File 349:(c) 2010 WIPO/Thomson. All rts. reserv.  
00761432  
METHODS, CONCEPTS AND TECHNOLOGY FOR DYNAMIC COMPARISON OF PRODUCT  
FEATURES AND CUSTOMER PROFILE  
PROCEDES, CONCEPTS ET TECHNIQUE DE COMPARAISON DYNAMIQUE DE  
CARACTERISTIQUES D'UN PRODUIT ET DU PROFIL DES CONSOMMATEURS  
Application: WO 2000US14459 20000524 (PCT/WO US2000014459)

20/3,K/3 (Item 3 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2010 WIPO/Thomson. All rts. reserv.

01780107 \*\*Image available\*\*

SYSTEM AND METHOD FOR SETTling TRADES  
SYSTEME ET PROCEDE DE REGLEMENT DE TRANSACTIONS

Patent Applicant/Assignee:

BOARD OF TRADE OF THE CITY OF CHICAGO INC, 20 South Wacker Drive,  
Chicago, IL 60606, US, US (Residence), US (Nationality), (For all  
designated states except: US)

Patent Applicant/Inventor:

HAWRYSZ Joseph E, 3125 Medford Court, Aurora, IL 60504, US, US  
(Residence), US (Nationality), (Designated only for: US)

Legal Representative:

FRANK J William III et al (agent), McCracken & Frank LLP, 311 S. Wacker  
Dr., Suite 2500, Chicago, IL 60606, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 200920508 A1 20090212 (WO 0920508)

Application: WO 2008US8686 20080716 (PCT/WO US2008008686)

Priority Application: US 2007879185 20070716

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AO AT AU AZ BA BB BG BH BR BW BY BZ CA CH CN CO CR CU CZ DE  
DK DM DO DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE  
KG KM KN KP KR KZ LA LC LK LR LS LT LU LY MA MD ME MG MK MN MW MX MY MZ  
NA NG NI NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM ST SV SY TJ  
TM TN TR TT TZ UA UG US UZ VC VN ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HR HU IE IS IT LT LU LV MC  
MT NL NO PL PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 5120

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

G06Q-0040/00...

Fulltext Availability:

Claims

Detailed Description

... Specifically, suppose that the first trader 90 has sold a futures  
contract to a second trader 202 on the second exchange 104,  
for example, by using an electronic platform provided...

...pertinent details may also include the location where the delivery is to  
occur and a time by when delivery must be completed, The

second clearing firm 208 notifies the second trader 202 (arrow 5...

...of funds, or another payment instrument the first clearing firm 100 is able to accept. After receiving the payment, the first clearing firm 100 sends a request to the second exchange...

...does not wait for the payment to be received from the second clearing firm 208 before sending the request to the second exchange 104 that the proxy be transferred to the...

...100 sends the message to the second exchange 104 requesting the transfer of the proxy before the second firm 208 provides payment. In other cases, the first clearing firm 100 sends the request for the transfer of the proxy...

20/3,K/8 (Item 8 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2010 WIPO/Thomson. All rts. reserv.

01374103 \*\*Image available\*\*

FRACTIONAL FORWARD CONTRACTS  
CONTRATS A TERME FRACTIONNAIRES

Patent Applicant/Assignee:

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA, 1111 Franklin Street, 5th Floor, Oakland, CA 94607, US, US (Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

SUGIHARA George, 2505 Via Pisa, Del Mar, CA 92014, US, US (Residence), US (Nationality), (Designated only for: US)

Legal Representative:

MUSICK Eleanor M (agent), Procopio, Cory, Hargreaves & Savitch LLP, 530 B Street, Suite 2100, San Diego, CA 92101, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 200655117 A2-A3 20060526 (WO 0655117)

Application: WO 2005US36354 20051007 (PCT/WO US2005036354)

Priority Application: US 2004617371 20041008

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM  
DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KM KP KR KZ  
LC LK LR LS LT LU LV LY MA MD MG MK MN MW MX MZ NA NG NI NO NZ OM PG PH  
PL PT RO RU SC SD SE SG SK SL SM SY TJ TM TN TR TT TZ UA UG US UZ VC VN  
YU ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC NL  
PL PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English  
Filing Language: English  
Fulltext Word Count: 3413  
International Patent Class (v8 + Attributes)  
IPC + Level Value Position Status Version Action Source Office:

G06Q-0040/00...

Fulltext Availability:

Claims

Detailed Description

... from those exposed to it to those willing to accept it led to development of **forward contracts** (in which a contract is made at one **time** for **delivery** of the commodity **later**) and options.

...the commodity on the spot market to satisfy the contract or by entering into a **second forward contract** (this time as a purchaser, rather than a supplier, of the commodity) that offsets the...

20/3,K/9 (Item 9 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
(c) 2010 WIPO/Thomson. All rts. reserv.

01359848 \*\*Image available\*\*

METHOD FOR MANAGING MARKETS FOR COMMODITIES USING FRACTIONAL FORWARD DERIVATIVE

PROCEDE PERMETTANT DE GERER DES MARCHES DE MARCHANDISES A L'AIDE D'UNE DERIVEE FRACTIONNAIRE A DROITE

Patent Applicant/Assignee:

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA, 1111 Franklin Street, 5th Floor, Oakland, CA 94607, US, US (Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

SUGIHARA George, 2505 Via Pisa, Del Mar, CA 92014, US, US (Residence), US (Nationality), (Designated only for: US)

Legal Representative:

MUSICK Eleanor M (agent), Procopio, Cory, Hargreaves & Savitch LLP, 530 B Street, Suite 2100, San Diego, CA 92101, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 200642134 A1 20060420 (WO 0642134)

Application: WO 2005US36204 20051007 (PCT/WO US2005036204)

Priority Application: US 2004617371 20041008

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM  
DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KM KP KR KZ  
LC LK LR LS LT LU LV LY MA MD MG MK MN MW MX MZ NA NG NI NO NZ OM PG PH  
PL PT RO RU SC SD SE SG SK SL SM SY TJ TM TN TR TT TZ UA UG US UZ VC VN  
YU ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC NL  
PL PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 7922

International Patent Class (v8 + Attributes)

IPC + Level Value Position Status Version Action Source Office:

G06Q-0040/00...

Fulltext Availability:

Claims

Detailed Description

... riskfrom those exposed to it to those willing to accept it led to  
development of **forward contracts** (in which a contract is made  
at one **time** for **delivery** of the commodity **later**) and options.

...the commodity on the spot market to satisfy the contract or by entering  
into a **second forward contract** (this time as a  
purchaser, rather than a supplier, of the commodity) that offsets the...

## **IV. Text Search Results from Dialog - NPL**

### **A. Abstract Databases**

? show files;ds;cost;logoff hold

File 139:EconLit 1969-2010/Jun

(c) 2010 American Economic Association

File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13

(c) 2002 Gale/Cengage

File 474:New York Times Abs 1969-2010/Jul 26

(c) 2010 The New York Times

File 475:Wall Street Journal Abs 1973-2010/Jul 26

(c) 2010 The New York Times

File 35:Dissertation Abs Online 1861-2010/Jun

(c) 2010 ProQuest Info&Learning

File 65:Inside Conferences 1993-2010/Jul 26

(c) 2010 BLDSC all rts. reserv.

File 99:Wilson Appl. Sci & Tech Abs 1983-2010/May

(c) 2010 The HW Wilson Co.

File 256:TecTrends 1982-2010/Jul W3

(c) 2010 Info.Sources Inc. All rights res.

File 2:INSPEC 1898-2010/Jul W3

(c) 2010 The IET

Set	Items	Description
S1	965	(FORWARD OR POSTPONED OR DELAYED)()(CONTRACT OR CONTRACTS - OR AGREEMENT OR AGREEMENTS OR SALE OR SALES OR TRANSACTION OR TRANSACTIONS)
S2	965	(FORWARD OR POSTPONED OR DELAYED)()(CONTRACT OR CONTRACTS - OR AGREEMENT OR AGREEMENTS OR SALE OR SALES OR TRANSACTION OR TRANSACTIONS)
S3	6	(REPURCHASE OR REPO OR RE()PURCHASE OR RE-PURCHASE OR RP OR BUYBACK OR BUY()BACK OR SECOND)(2N)(CONTRACT OR CONTRACTS OR AGREEMENT OR AGREEMENTS)
S4	7	(OFFER OR ASK OR ASKED OR ASKING OR SELLING OR QUOTED)()(P-RICE OR PRICING OR VALUE OR VALUATION OR WORTH)
S5	14	(CLOSING OR SETTLE OR SETTLEMENT OR COMPLETE OR COMPLETING OR COMPLETION OR PAY OR PAYING OR PAYMENT OR DELIVER OR DELIVERING OR DELIVERY OR CLEAR OR CLEARING OR MATURITY)(2N)(DATE - OR DEADLINE OR TIME)
S6	538	DIFFERENT OR OTHER OR DISCRETE OR DISTINCT OR "NOT"(1W)SAME OR RELATED OR DEPEND??? OR LARGER OR SMALLER OR MORE OR LESS OR HIGHER OR LOWER OR EARLIER OR LATER OR BEFORE OR AFTER
S7	250	BONDS OR COMMERCIAL()PAPER OR CORPORATE()DEBT OR DEBENTURES OR SECURITIES OR EQUITIES OR (FINANCIAL OR DEBT)()(VEHICLE OR VEHICLES OR PRODUCT OR PRODUCTS OR INSTRUMENT? ? OR OBLIGATION? ?) OR INVESTMENT? ? OR SHARES OR STOCK OR STOCKS OR (TRAD-

		ABLE OR TRADEABLE)()OBJECT? ?
S8	3	S2(3N)S3
S9	0	S4(2N)S6
S10	1	S5(2N)S6
S11	0	S9(10N)S10
S12	0	S7(S)S8(S)S11
S13	6	S2 AND S3
S14	3	S13 NOT (PY>2003 OR PD=20030912:20031231)
S15	3	RD (unique items)

15/3,K/1 (Item 1 from file: 35)  
DIALOG(R)File 35:Dissertation Abs Online  
(c) 2010 ProQuest Info&Learning. All rts. reserv.

02117766 ORDER NO: AADAA-I3194039  
Commodity prices and transaction coordination through contracts  
Author: Chin, Ming-Chin  
Degree: Ph.D.  
Year: 2003  
Corporate Source/Institution: The Pennsylvania State University (0176)  
Source: VOLUME 66/10-A OF DISSERTATION ABSTRACTS INTERNATIONAL.  
PAGE 3745. 151 PAGES  
ISBN: 0-542-37190-1

...understand how activities of production and consumption should be modifies as a consequence of introducing **forward contract** markets. Assuming clearing markets, equilibrium spot price distributions are solved in the rational expectations framework...

...that are currently useful to formalize and investigate various forms of market structure. For the **second** essay, the **contract** market itself is assumed subject to adverse selection and moral hazard in that quality is...

...italic> Spence (1973). The results show that the high quality seller receives quality premium on **forward contracts**, whereas the low quality seller receives lower **forward contract** price than the expected spot price due to quality discount. Also, under the optimal incentive...

...the buyer the high and the low quality sellers supply their total production to the **forward contract** market. In other words, the spot market does not exist if all feeders in market...

15/3,K/2 (Item 2 from file: 35)  
DIALOG(R)File 35:Dissertation Abs Online  
(c) 2010 ProQuest Info&Learning. All rts. reserv.

01538737 ORDER NO: AAD97-12892  
ESSAYS ON SEARCH, MONEY AND ENDOGENOUS INSIDE ASSETS (BARGAINING, MATURITIES, DIVISIBLE MONEY)  
Author: MUSALEM BORRERO, ALBERTO GABRIEL  
Degree: PH.D.  
Year: 1996  
Corporate Source/Institution: UNIVERSITY OF PENNSYLVANIA (0175)  
Source: VOLUME 57/11-A OF DISSERTATION ABSTRACTS INTERNATIONAL.  
PAGE 4870. 82 PAGES

...to linear economies in equilibrium. The second model focuses on the role of maturities in **forward contracts**. Maturities are associated with deterministic gestation lags in the arrival of finished

products and they affect **forward contracts** in two ways. First, they determine whether or not **forward contracts** are struck. **Second**, if **forward contracts** are struck, implied rates of return on **forward contracts** (contracting terms) depend on maturity. The third model breaks the link between the stock of...

15/3,K/3 (Item 1 from file: 2)  
DIALOG(R)File 2:INSPEC  
(c) 2010 The IET. All rts. reserv.

06718955

Title: The pool and **forward contracts** in the UK electricity supply industry

Author(s): Lowrey, C. 1

Affiliation(s): 1. Dept. of Econ. & Finance, Brunel Univ., Uxbridge, UK

Journal: Energy Policy, vol.25, no.4, pp.413-23

Publisher: Elsevier

Country of Publication: UK

Publication Date: March 1997

ISSN: 0301-4215

ISSN Type: print

SICI: 0301-4215(199703)25:4L.413:PFCE;1-7

CODEN: ENPYAC

U.S. Copyright Clearance Center Code: 0301-4215/97/\$17.00+0.00

Language: English

Subfile(s): B (Electrical & Electronic Engineering); E (Mechanical & Production Engineering)

INSPEC Update Issue: 1997-041

Copyright: 1997, IEE

Abstract: ...that the break-up of the first set of contracts for differences (i.e. financial **forward contracts**) for electricity which were instituted at privatization between the generators and the regional suppliers led...

...Powell by expanding their data set in order to examine the break-up of the **second** set of **contracts** for differences in March 1993 and its effects on electricity prices (this was also expanded...

...the methodology of Helm and Powell (1992), it is found that the dissolution of this **second** set of **contracts** had a similar effect on the relationship between prices and demand. This supports the view...

Identifiers: UK electricity supply industry; power pool; **forward contracts**; privatization; regional suppliers; power generators; electricity pool; spot market; forward market

## B. Full-text Databases

? show files;ds;cost;logoff hold

File 634:San Jose Mercury Jun 1985-2010/Jul 23

(c) 2010 San Jose Mercury News

File 610:Business Wire 1999-2010/Jul 26

(c) 2010 Business Wire.

File 613:PR Newswire 1999-2010/Jul 26

(c) 2010 PR Newswire Association Inc

File 810:Business Wire 1986-1999/Feb 28

(c) 1999 Business Wire

File 813:PR Newswire 1987-1999/Apr 30

(c) 1999 PR Newswire Association Inc

File 20:Dialog Global Reporter 1997-2010/Jul 26

(c) 2010 Dialog

File 626:Bond Buyer Full Text 1981-2008/Jul 07

(c) 2008 Bond Buyer

File 268:Banking Info Source 1981-2010/Jul W2

(c) 2010 ProQuest Info&Learning

File 9:Business & Industry(R) Jul/1994-2010/Jul 23

(c) 2010 Gale/Cengage

File 15:ABI/Inform(R) 1971-2010/Jul 24

(c) 2010 ProQuest Info&Learning

File 16:Gale Group PROMT(R) 1990-2010/Jul 23

(c) 2010 Gale/Cengage

File 148:Gale Group Trade & Industry DB 1976-2010/Jul 23

(c) 2010 Gale/Cengage

File 160:Gale Group PROMT(R) 1972-1989

(c) 1999 The Gale Group

File 275:Gale Group Computer DB(TM) 1983-2010/Jun 14

(c) 2010 Gale/Cengage

File 621:Gale Group New Prod.Annou.(R) 1985-2010/Jun 03

(c) 2010 Gale/Cengage

File 636:Gale Group Newsletter DB(TM) 1987-2010/Jul 23

(c) 2010 Gale/Cengage

File 267:Finance & Banking Newsletters 2008/Sep 29

(c) 2008 Dialog

File 624:McGraw-Hill Publications 1985-2010/Jul 26

(c) 2010 McGraw-Hill Co. Inc

File 625:American Banker Publications 1981-2008/Jun 26

(c) 2008 American Banker

Set	Items	Description
-----	-------	-------------

S1	60976	(FORWARD OR POSTPONED OR DELAYED)()(CONTRACT OR CONTRACTS - OR AGREEMENT OR AGREEMENTS OR SALE OR SALES OR TRANSACTION OR TRANSACTIONS)
----	-------	---

S2	60976	(FORWARD OR POSTPONED OR DELAYED)()(CONTRACT OR CONTRACTS -
----	-------	---

OR AGREEMENT OR AGREEMENTS OR SALE OR SALES OR TRANSACTION OR  
TRANSACTIONS)

S3 1908 (REPURCHASE OR REPO OR RE()PURCHASE OR RE-PURCHASE OR RP OR  
BUYBACK OR BUY()BACK OR SECOND)(2N)(CONTRACT OR CONTRACTS OR  
AGREEMENT OR AGREEMENTS)

S4 3107 (OFFER OR ASK OR ASKED OR ASKING OR SELLING OR QUOTED)()(P-  
RICE OR PRICING OR VALUE OR VALUATION OR WORTH)

S5 5575 (CLOSING OR SETTLE OR SETTLEMENT OR COMPLETE OR COMPLETING  
OR COMPLETION OR PAY OR PAYING OR PAYMENT OR DELIVER OR DELIV-  
ERING OR DELIVERY OR CLEAR OR CLEARING OR MATURITY)(2N)(DATE -  
OR DEADLINE OR TIME)

S6 57371 DIFFERENT OR OTHER OR DISCRETE OR DISTINCT OR "NOT"(1W)SAME  
OR RELATED OR DEPEND??? OR LARGER OR SMALLER OR MORE OR LESS  
OR HIGHER OR LOWER OR EARLIER OR LATER OR BEFORE OR AFTER

S7 49641 BONDS OR COMMERCIAL()PAPER OR CORPORATE()DEBT OR DEBENTURES  
OR SECURITIES OR EQUITIES OR (FINANCIAL OR DEBT)()(VEHICLE OR  
VEHICLES OR PRODUCT OR PRODUCTS OR INSTRUMENT? ? OR OBLIGATI-  
ON? ?) OR INVESTMENT? ? OR SHARES OR STOCK OR STOCKS OR (TRAD-  
ABLE OR TRADEABLE)()OBJECT? ?

S8 387 S2(3N)S3

S9 356 S4(2N)S6

S10 549 S5(2N)S6

S11 0 S9(10N)S10

S12 0 S7(S)S8(S)S11

S13 1 S7(S)S8(S)(S9 OR S10)

S14 6 S8(S)(S4 OR S5)(S)S6

S15 6 S8(S)(S4 OR S5)

S16 422 S2(5N)S3

S17 69 S16(F)(S4 OR S5)

S18 40 S17(S)(S7 OR S9 OR S10)

S19 40 S13 OR S14 OR S18

S20 17 S19 NOT (PY>2003 OR PD=20030912:20031231)

S21 16 RD (unique items)

21/6/1 (Item 1 from file: 626)

0152909

If High Court Defines Repos, Liquidity of Market Could Suffer, New York Fed Says  
May 27, 1994

21/6/2 (Item 1 from file: 268)

00332020 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Recent developments in wholesale payments systems

Nov/Dec 1997

WORD COUNT: 11201

21/6/3 (Item 1 from file: 15)  
06356601 82369992 \*\*USE FORMAT 7 OR 9 FOR FULL TEXT\*\*  
If High Court Defines Repos, Liquidity of Market Could Suffer, NewYork Fed Says  
May 27, 1994  
WORD COUNT: 865

21/6/4 (Item 2 from file: 15)  
02615158 380365361 \*\*USE FORMAT 7 OR 9 FOR FULL TEXT\*\*  
Statement of financial accounting standards No. 150-accounting for certain  
financial instruments with characteristics of both liabilities and equity  
Aug 2003  
WORD COUNT: 7001

21/6/5 (Item 3 from file: 15)  
02326760 107834455 \*\*USE FORMAT 7 OR 9 FOR FULL TEXT\*\*  
Currency risk and international property investments  
1995  
WORD COUNT: 6140

21/6/6 (Item 4 from file: 15)  
01592914 02-43903 \*\*USE FORMAT 7 OR 9 FOR FULL TEXT\*\*  
Russian promissory notes (veksels)  
Feb 1998 LENGTH: 4 Pages  
WORD COUNT: 2641

21/6/7 (Item 5 from file: 15)  
01030125 96-79518 \*\*USE FORMAT 7 OR 9 FOR FULL TEXT\*\*  
A glossary of derivatives market terms  
1995 LENGTH: 50 Pages  
WORD COUNT: 52073

21/6/8 (Item 6 from file: 15)  
00724071 93-73292 \*\*USE FORMAT 7 OR 9 FOR FULL TEXT\*\*  
United States  
Jan 1992 LENGTH: 20 Pages  
WORD COUNT: 12678

21/6/9 (Item 7 from file: 15)  
00703133 93-52354 \*\*USE FORMAT 7 OR 9 FOR FULL TEXT\*\*  
Money market futures  
Nov/Dec 1992 LENGTH: 19 Pages  
WORD COUNT: 12293

21/6/10 (Item 1 from file: 148)  
16374580 SUPPLIER NUMBER: 106390494 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Official releases. (Official Literature).  
August, 2003  
WORD COUNT: 1202 LINE COUNT: 00104

21/6/11 (Item 2 from file: 148)  
10167462 SUPPLIER NUMBER: 20257365 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Accounting for transfers of financial assets under SFAS No. 125.(Cover Story)  
March, 1997  
WORD COUNT: 5942 LINE COUNT: 00495

21/6/12 (Item 3 from file: 148)  
08863768 SUPPLIER NUMBER: 18441718  
Special repo rates. (includes appendix)  
June, 1996  
WORD COUNT: 15371 LINE COUNT: 01189

21/6/13 (Item 4 from file: 148)  
07978913 SUPPLIER NUMBER: 17156306 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Days of our (business) lives. (real estate agents)  
July 17, 1995  
WORD COUNT: 3050 LINE COUNT: 00235

21/6/14 (Item 5 from file: 148)  
07281613 SUPPLIER NUMBER: 15282309 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
If high court defines repos, liquidity of market could suffer, New York Fed  
says. (repurchase agreements)  
May 27, 1994  
WORD COUNT: 916 LINE COUNT: 00072

21/6/15 (Item 6 from file: 148)  
07225083 SUPPLIER NUMBER: 14868716 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
U.S. treasury bill forward and futures prices.  
Feb, 1994  
WORD COUNT: 8482 LINE COUNT: 00662

21/6/16 (Item 7 from file: 148)  
06802197 SUPPLIER NUMBER: 15142894 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Currency hedging for international portfolios. (includes appendix)  
Dec, 1993  
WORD COUNT: 7024 LINE COUNT: 00573

21/3,K/4 (Item 2 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2010 ProQuest Info&Learning. All rts. reserv.

02615158 380365361

Statement of financial accounting standards No. 150-accounting for certain financial instruments with characteristics of both liabilities and equity

Anonymous

Journal of Accountancy v196n2 PP: 94 Aug 2003

ISSN: 0021-8448 JRNL CODE: JAC

WORD COUNT: 7001

...TEXT: Forward contracts to repurchase an issuer's equity shares that require physical settlement in exchange for cash are initially measured at the fair value of the shares at inception, adjusted for any consideration or unstated rights or privileges, which is the same...

...the conditions specified in the contract if settlement occurred immediately. Those contracts and mandatorily redeemable financial instruments are subsequently measured at the present value of the amount to be paid at settlement (discounted at the rate implicit at inception), if both the amount of cash and the settlement date are fixed, or, otherwise, at the amount that would be paid under the conditions specified in the contract if settlement occurred at the reporting date. Other financial instruments within the scope of this Statement are initially and subsequently measured at fair value, unless required by this Statement or other generally accepted accounting principles to be measured differently. Disclosures are required about the terms of...shares.

4. In this Statement, monetary value is what the fair value of the cash, shares, or other instruments that a financial instrument obligates the issuer to convey to the holder would be at the settlement date under specified market conditions. For certain financial instruments, this Statement requires consideration of whether monetary value would remain fixed or would vary in response to changes in market conditions. How the monetary value of a financial instrument varies in response to changes in market conditions depends on the nature of the arrangement, including, in part, the form of settlement. For example, for a financial instrument that embodies an obligation that requires:

a. Settlement either by transfer of \$100,000 in...that require physical settlement by repurchase of a fixed number of the issuer's equity shares in exchange for cash and mandatorily redeemable financial instruments shall be measured subsequently in one of two ways. If both the amount to be paid and the settlement date are fixed, those instruments shall be measured subsequently at the present value of the amount...

...using the rate implicit at inception. If either the amount to be paid or the **settlement date** varies based on specified conditions, those instruments shall be measured subsequently at the amount of...

...price, the number of issuer's shares to which the contract is indexed, and the **settlement date** or dates of the contract, as applicable.

What the fair value of the cash, **shares**, or other instruments that a **financial instrument** obligates the issuer to convey to the holder would be at the **settlement date** under specified market conditions.

21/3,K/8 (Item 6 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2010 ProQuest Info&Learning. All rts. reserv.

00724071 93-73292

United States

Dropkin, Charles E.; Kayle, Bruce; Puleo, Frank C.

International Financial Law Review Supplement PP: 36-55 Jan 1992

ISSN: 0262-6969 JRNL CODE: IFL

WORD COUNT: 12678

...TEXT: difficulties under US bankruptcy laws where the event triggering the netting occurred on a date **other than a payment date** due to counterparty insolvency. It was unclear whether closeout provisions which permit the early termination...

...termination provisions with respect to swap agreements, commodities contracts (futures), forward contracts, repurchase agreements and **securities** contracts (contracts for the sale, purchase or loan of a security, including **stock options**) will be given effect (a departure from the traditional bankruptcy scheme where a mere...mutual debts and claims including damages established on closeout in connection with securities contracts, commodities **contracts, forward contracts, repurchase agreements** and swaps is now permitted under the Bankruptcy Code (a departure from the automatic stay...  
...is unclear whether a master netting agreement encompassing some or all of securities contracts, commodities **contracts, forward contracts, repurchase agreements** and swap agreements would be enforced so as to permit, for example, a damage claim under a **securities** contract to be set off against a damage claim under a forward contract (cross-product...  
...specified derivative products, which FIRREA termed 'qualified financial contracts' (QFCs). QFCs include securities contracts, commodity **contracts, forward contracts, repurchase agreements** and swap agreements. Swap agreements are defined broadly to include the full panoply of swaps...

21/3,K/10 (Item 1 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c) 2010 Gale/Cengage. All rts. reserv.

16374580 SUPPLIER NUMBER: 106390494 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Official releases. (Official Literature).

Journal of Accountancy, 196, 2, 94(7)

August, 2003

ISSN: 0021-8448 LANGUAGE: English RECORD TYPE: Fulltext

WORD COUNT: 1202 LINE COUNT: 00104

... Forward contracts to repurchase an issuer's equity shares that require physical settlement in exchange for cash are initially measured at the fair value of the shares at inception, adjusted for any consideration or unstated rights or privileges, which is the same...

...the conditions specified in the contract if settlement occurred immediately. Those contracts and mandatorily redeemable financial instruments are subsequently measured at the present value of the amount to be paid at settlement (discounted at the rate implicit at inception), if both the amount of cash and the settlement date are fixed, or, otherwise, at the amount that would be paid under the conditions specified in the contract if settlement occurred at the reporting date. Other financial instruments within the scope of this Statement are initially and subsequently measured at fair value, unless required by this Statement or other generally accepted accounting principles to be measured differently. Disclosures are required about the terms of...

21/3,K/12 (Item 3 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c) 2010 Gale/Cengage. All rts. reserv.

08863768 SUPPLIER NUMBER: 18441718

Special repo rates. (includes appendix)

Duffie, Darrell

Journal of Finance, v51, n2, p493(34)

June, 1996

ISSN: 0022-1082 LANGUAGE: English RECORD TYPE: Fulltext; Abstract

WORD COUNT: 15371 LINE COUNT: 01189

... paid directly by the asset, of ownership and control of the underlying asset during the time period before delivery of a forward contract. This article provides a theoretical analysis of the convenience yield on...and "dollar repos." A dollar repo is essentially(7) a simultaneous purchase and sale, with different date of settlement for purchase than for sale. Dollar repos are also apparently used by certain pension funds...

21/3,K/15 (Item 6 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c) 2010 Gale/Cengage. All rts. reserv.

07225083 SUPPLIER NUMBER: 14868716 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
U.S. treasury bill forward and futures prices.

Fried, Joel

Journal of Money, Credit & Banking, v26, n1, p 55(17)

Feb, 1994

ISSN: 0022-2879 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT; ABSTRACT  
WORD COUNT: 8482 LINE COUNT: 00662

... reflected in differences across markets. (11.) Suppose that instead  
of an infinite cost, two-period **securities** could be sold at a  
proportiona  $[\gamma]$ , in the secondary market. in this case the...

...P.sub.lt] = FFS of  $[\gamma]$ . (12.) The construction of Divisia indices of  
the money **stock** makes use of a similar argument. (13.) There is one  
technical qualification that has been...bears on the equity premium puzzle.  
Th use of measured interest rates on short-term **securities** no doubt  
overstates the effective equity pre Cf. Mehra and Prescott (1985). (28.)

...this fashion. Indeed, they can be viewed as prod the monetary services  
attached to their **debt instruments** in such a way that they earn  
a normal return for this productive activity. The...

...whether or not the Fed can significantly affect the term struc  
non-Treasury short-term **securities**. Cf. Rowe, Lawler, and Cook  
(1986). See also Mishkin (1978).

#### LITERATURE CITED

Cagan, Phillip. "Changes...

21/3,K/16 (Item 7 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c) 2010 Gale/Cengage. All rts. reserv.

06802197 SUPPLIER NUMBER: 15142894 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Currency hedging for international portfolios. (includes appendix)

Glen, Jack; Jorion, Philippe

Journal of Finance, v48, n5, p1865(22)

Dec, 1993

ISSN: 0022-1082 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT; ABSTRACT  
WORD COUNT: 7024 LINE COUNT: 00573

... be compared. The first one includes stocks and bonds only, whereas  
the second also includes **forward contracts**. This **second**  
framework corresponds to a situation where an investor simultaneously  
optimizes over both the underlying assets...

...to that of a corresponding U.S. asset. At the risk level of U.S. **bonds**, adding currencies would have improved the annual return of a bond portfolio by 4.7 percent.(5) At the risk level of U.S. **stocks**, the improvement amounts to 2.7 percent. Finally, for a portfolio consisting of **stocks and bonds**, the increase in annual return would have been 6.7 percent at the risk level of U.S. **stocks**.

Alternatively, the value of hedging can be analyzed in the context of ...the investor compares an optimal portfolio of stocks/bonds with an optimal portfolio also containing **forward contracts**. In the **second**, currency hedges are added to a predetermined **stock/bond** position. The third approach imposes short-selling restrictions on optimized portfolios; whereas, in the...

## **V. Additional Resources Searched**

Searches were done in two template files not available through DIALOG, the Internet and Personal Computing Abstracts and the Financial Times, but there were no results.